

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
REQUEST FOR FILING NATIONAL PATENT APPLICATION

Under 35 USC 111(a) and Rule 53(b)

PATENT APPLICATION

Hon. Commissioner of Patents  
Washington, D.C. 20231

WITH SIGNED DECLARATION

jc891 U.S. PTO



Sir:

10/25/00

NONPROVISIONAL  
NON REISSUE  
NON PCT NAT PHASE

jc926 U.S. PTO  
09/695284  
10/25/00

Herewith is the PATENT APPLICATION of  
Inventor(s): HOSHINO, Isao et al

Title: OPTICAL HEAD AND OPTICAL DISC APPARATUS  
EQUIPPED WITH OPTICAL HEAD

Atty. Dkt.: PM 271043  
M#

T4KN-00S0974-1  
Client Ref

including:

Date: October 25, 2000

1. Specification: 65 pages (only spec. and claims) 2. ☐ Specification in non-English language  
3. Declaration ☒ Original ☐ Facsimile/Copy ☒ Abstract 1 page(s); 23 numbered claims  
4. ☒ Drawings: 16 sheet(s) ☐ informal; ☒ formal of size: ☒ A4 ☐ 11"  
5. ☐ See top first page re prior Provisional, National or International application(s). ("X" box only if info is there and do not complete corresponding item 5 or 6). (Prior M# SN )  
6. **AMEND the specification** please by inserting before the first line: -- This is a ☐ Continuation-in-Part  
☐ Divisional ☐ Continuation ☐ Substitute Application (MPEP 201.09) of:  
6(a) ☐ National Appln. No. / filed (M# )  
6(b) ☐ International Appln. No. filed  
7. ☐ **AMEND the specification** by inserting before the first line: -- This application claims the benefit of U.S. Provisional Application No. 60/ , filed --  
8. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.  
9. ☐ Prior application is assigned to

by Assignment recorded Reel Frame

10. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in JAPAN

11. (country)

Application No.	Filing Date	Application No.	Filing Date
(1) 11-304021	October 26, 1999	(2) 11-309717	October 29, 1999
(3)		(4)	
(5)		(6)	
(7)		(8)	
(9)		<input type="checkbox"/> See 3 <sup>rd</sup> page for additional priorities	

12. 2 (No.) Certified copy (copies): ☒ attached; ☐ previously filed (date) filed on  
in U.S. Application No. /  
13. Small entity status ☐ is **not** claimed; ☐ is claimed (Pre-filing confirmation required)  
13(a) ☐ Attached: (No.) Small Entity Statement(s) (since 9/8/00 small entity statement(s) not essential to make claim)

14. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1)		(4)	
(2)		(5)	
(3)		(6)	

15. ☐ This application is being filed under Rule 53(b)(2) since an inventor is named in the enclosed Declaration who was not named in the prior application.

16. ☒ Attached: Form PTO-1449, a copy of the listed document and a Background Art Information paper with comments.

17. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee Code
18	Basic Filing Fee			\$710/\$355	\$710	101/201
19	Total Effective Claims	23	minus 20 = *3	x \$18/\$9 =	+ 54	103/203
20	Independent Claims	9	minus 3 = *6	x \$80/\$40 =	+ 480	102/202
*If answer is zero or less, enter "0"						
21	If any proper multiple dependent claim (ignore improper) is present, add (Leave this line blank if this is a reissue application)			+ \$270/\$135	+ 0	104/204
22				<b>TOTAL FILING FEE ENCLOSED =</b>	<b>\$1244</b>	
23	If "non-English" box 2 is X'd, add Rule 17(k) processing fee			+ \$130	+ 0	139
24	If "assignment" box 8 is X'd, add recording fee			+ \$40	+ 40	581
25	<input type="checkbox"/> Attached is a Petition/Fee under Rule No.			+ \$130	+ 0	122
26				<b>TOTAL FEE ENCLOSED =</b>	<b>\$1284</b>	

Our Deposit Account No. 03-3975

Our Order No. 8312 C# 271043 M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

**This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.**

**Pillsbury Madison & Sutro LLP**  
**Intellectual Property Group**

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NOTE: File in duplicate with 2 post card receipts (PAT-103) & attachments